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Practitioner's Docket No. U 014848-4

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent application

Inventor(s)

for

Title of invention

OR

In re application of: Mark Justin BETTS, et al

Serial No.: 10/680,555

Group No.: 1621

Filed: October 7, 2003

Examiner.:

For: PROCESS FOR PRODUCING OXYGENATED PRODUCTS

Commissioner for Patents

P. O. Box 1450

Alexandria, VA 22313-1450

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
WITHIN THREE MONTHS OF FILING OR  
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. 1.97(b))

CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10\*

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37 C.F.R. 1.8(a)

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- ☐ transmitted by facsimile to the Patent and Trademark Office. to (708) 872-9306

Date: June 2, 2004

Signature

CLIFFORD J. MASS

(type or print name of person certifying)

\* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

**NOTE:** 37 C.F.R. 1.98(b):

- (1) *Each U.S. patent listed in an information disclosure statement must be identified by inventor, patent number, and issue date.*
- (2) *Each U.S. patent application published listed in an information disclosure statement shall be identified by applicant, patent application publication number, and publication date.*
- (3) *Each U.S. application listed in an information disclosure statement must be identified by the inventor, application number, and filing date.*
- (4) *Each foreign patent or published foreign patent application listed in an information disclosure statement must be identified by the country or patent office which issued the patent or published the application, an appropriate document number, and the publication date indicated on the patent or published application.*
- (5) *Each publication listed in an information disclosure statement must be identified by publisher, author (if any), title, relevant pages of the publication, date, and place of publication.*

**WARNING:** *No extension of time can be had under 37 C.F.R. § 1.36 (a) or (b) for filing an IDS. 37 C.F.R. § 1.97(f).*

**NOTE:** *The “filing date of a national application” under 37 C.F.R. 1.97(b) has two possible meanings. Where the filing is a direct one to the United States Patent & Trademark office, the filing is defined in 37 C.F.R. 1.53(b) as “the date on which: (1) A specification containing a description pursuant to § 1.71 and at least one claim pursuant to § 1.75; and (2) any drawing required by § 1.81(a), are filed in the Patent and Trademark Office in the name of the actual inventor or inventors as required by § 1.41.” 37 C.F.R. 1.97(b)(1). On the other hand, an international application that enters the national stage occurs when the applicant has filed the documents and fees required by 35 U.S.C. § 371(c) within the periods set forth in § 1.494 or § 1.495. 35 U.S.C. § 371(c) requires the filing of the following: (1) the national fee; (2) a copy of the international application, unless already sent by the International Bureau, and an English translation if filed in another language; (3) amendments under PCT Article 19, with a translation into English if made in another language; (4) an oath or declaration; and (5) a translation into English of any annexes to the international preliminary examination report, if such annexes were made in another language. 37 C.F.R. 1.97(b)(2).*

### **IDENTIFICATION OF TIME OF FILING THE ACCOMPANYING INFORMATION DISCLOSURE STATEMENT**

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 C.F.R. 1.97(b).

**NOTE:** *“No certification or fee is due when the filing is made within the above time period. It is advisable to ensure that no Office action has been mailed if the disclosure statement is delayed until after three months from filing.”*

**NOTE:** *“An information disclosure statement will be considered to have been filed on the day it was received in the Office, or on an earlier date of a mailing if accompanied by a properly executed certificate of mailing under 37 C.F.R. 1.8, or Express Mail certificate under 37 C.F.R. 1.10. An office action is mailed on the date indicated in the Office action.” Notice of April 20, 1992 (1138 O.G. 37-41, 39).*

**NOTE:** *“The term ‘national application’ includes continuing applications (continuations, divisions, continuations-in-part) so three-months will be measured from the actual filing date of an application as opposed [sic] to the effective date of a continuing application.” Notice of April 20, 1992 (1138 O.G. 37-41, 39).*

**NOTE:** "An action on the merits means an action which treats the patentability of the claims in an application, as opposed to only formal or procedural requirements. An action on the merits would, for example, contain a rejection or indication of allowability of a claim or claims rather than just a restriction requirements (37 C.F.R. 1.142) or just a requirement for additional fees to have a claim considered (37 C.F.R. 1.16(d)). Thus, if an application was filed on Jan. 1 and the first Office action on the merits was not mailed until six months later on July 1, the examiner would be required to consider any proper information disclosure statement filed prior to July 1." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

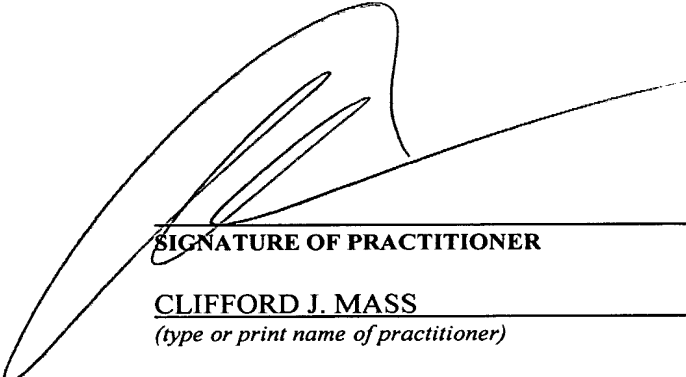
**WARNING:** "A petition for suspension of action to allow applicant time to submit an information disclosure statement will be denied as failing to present good and sufficient reasons, since 37 C.F.R. 1.97 provides adequate recourse for the timely submission of prior art for consideration by the examiner." Notice of July 6, 1992 (1141 O.G. 63).

If a fee is required, please charge deposit account 12-0425.

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**SIGNATURE OF PRACTITIONER**

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**CLIFFORD J. MASS**

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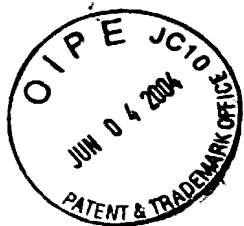
*(type or print name of practitioner)*

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P.O. Address

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c/o Ladas & Parry LLP  
26 West 61<sup>st</sup> Street  
New York, N.Y. 10023



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Mark Justin BETTS, et al  
Serial No.: 10/680,555 Group No.: 1621  
Filed: October 7, 2003 Examiner.:  
For: PROCESS FOR PRODUCING OXYGENATED PRODUCTS

Attorney Docket No.: U 014848-4

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Applicants call the Examiner's attention to the references listed on the attached  
Form PTO-1449. Copies of the references are also attached along with partial

**CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10\***

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**37 C.F.R. 1.10\***

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**TRANSMISSION**

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Date: June 2, 2004

Signature

CLIFFORD J. MASS

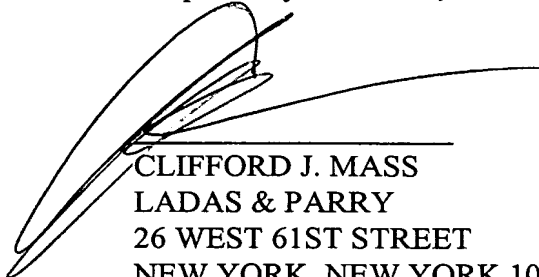
*(Type or print name of person certifying)*

**\*WARNING:**

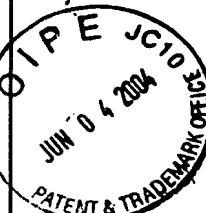
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"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.*

translations of the non English references. Full translations of the references are not readily available.

Respectfully submitted,

A large, stylized handwritten signature in black ink, appearing to read 'CLIFFORD J. MASS', is written over a horizontal line.

CLIFFORD J. MASS  
LADAS & PARRY  
26 WEST 61ST STREET  
NEW YORK, NEW YORK 10023  
REG. NO.30,086(212)708-1890

FORM PTO-1449		U. S DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO.	SERIAL NO.	
				U 014848-4	10/680,555	
		APPLICANT				
		Mark Justin BETTS, et al				
		FILING DATE		GROUP		
				October 7, 2003	1621	
U.S. PATENT DOCUMENTS						
EXAMINER INITIALS	REFERENCE DESIGNATION	DOCUMENT NUMBER	DATE	NAME	FILING DATE IF APPROPRIATE	
	AA					
	AB					
	AC					
	AD					
	AE					
	AF					
	AG					
	AH					
	AI					
	AJ					
	AK					
FOREIGN PATENT DOCUMENTS						
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
					YES	NO
	AL	881 791	7/1953	DE		x
	AM	870 248	3/1953	DE		x
	AN	902 492	1/1954	DE		x
	AO	907 170	3/1954	DE		x
	AP	879 837	6/1953	DE		x
OTHER ART (Including Author, Title, Date, Pertinent Dates, Etc.)						
	AR	Partial English translation of DE 881 791 (D5) of 7/1953				
	AS	Partial English translation of DE 870 248 (D14) of 3/1953				
	AT	Partial English translation of DE 902 492 (D8) of 1/1954				
EXAMINER				DATE CONSIDERED		
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.						

<b>FORM PTO-1449    U. S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use several sheets if necessary)		<b>ATTY. DOCKET NO.</b>		<b>SERIAL NO.</b>	
		<b>U 014848-4</b>		<b>10/680,555</b>	
		<b>APPLICANT</b>			
		<b>Mark Justin BETTS, et al</b>			
		<b>FILING DATE</b>		<b>GROUP</b>	
		<b>October 7, 2003</b>		<b>1621</b>	

U.S. PATENT DOCUMENTS					
EXAMINER INITIALS	REFERENCE DESIGNATION	DOCUMENT NUMBER	DATE	NAME	FILING DATE IF APPROPRIATE
	AA				
	AB				
	AC				
	AD				
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	AG				
	AH				
	AI				
	AJ				
	AK				

FOREIGN PATENT DOCUMENTS						
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
					YES	NO
	AL	854 216	10/1952	DE		x
	AM	874 304	4/1953	DE		x
	AN	936 333	12/1955	DE		x
	AO	640 115	7/1950	GB		
	AP					

OTHER ART (Including Author, Title, Date, Pertinent Dates, Etc.)		
	AR	Partial English translation of DE 907 170 (D9) of 3/1954
	AS	Partial English translation of parts of DE 897 837 (D10) of 6/1953
	AT	Partial English translation of DE 854 216 (D11) of 10/1952

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
<b>EXAMINER:</b> Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>FORM PTO-1449</b> <b>U. S DEPARTMENT OF COMMERCE</b> <b>PATENT AND TRADEMARK</b> <b>OFFICE</b>  <b>INFORMATION DISCLOSURE</b> <b>STATEMENT BY APPLICANT</b>  (Use several sheets if necessary)		<b>ATTY. DOCKET NO.</b>		<b>SERIAL NO.</b>	
		<b>U 014848-4</b>		<b>10/680,555</b>	
		<b>APPLICANT</b>			
		<b>Mark Justin BETTS, et al</b>			
		<b>FILING DATE</b>		<b>GROUP</b>	
		<b>October 7, 2003</b>		<b>1621</b>	
<b>U.S. PATENT DOCUMENTS</b>					
<b>EXAMINER INITIALS</b>	<b>REFERENCE DESIGNATIO</b>	<b>DOCUMENT NUMBER</b>	<b>DATE</b>	<b>NAME</b>	<b>FILING DATE IF APPROPRIATE</b>
	AA				
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<b>FOREIGN PATENT DOCUMENTS</b>					
		<b>DOCUMENT NUMBER</b>	<b>DATE</b>	<b>COUNTRY</b>	<b>TRANSLATION</b>
					<b>YES</b> <b>NO</b>
	AL				
	AM				
	AN				
	AO				
	AP				
<b>OTHER ART    (Including Author, Title, Date, Pertinent Dates, Etc.)</b>					
	<b>AR</b>	Partial English translation of DE 874 304 (D12) of 4/1953			
	<b>AS</b>	Partial English translation of DE 936 333 (D14) of 12/ 1955			
	<b>AT</b>				
<b>EXAMINER</b>			<b>DATE CONSIDERED</b>		
<b>EXAMINER:</b> Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.					